



Performance Plan and Appraisal for Senior Executives

Instructions

Use Sections: A (Performance Plan Approval and Midyear Review), B (Overall Performance Appraisal and Approval), C (Performance Elements/Requirements), D (Performance Assessment (and other applicable) Narrative(s)), and E (Senior Executive Individual Development Plan) of this form for all employees who are covered by the Senior Executive Service Performance Appraisal and Recognition System (SES-PARS).

Section C contains six standard Critical Elements (CEs), each with *Effective* performance level requirements, which must be used for all members of the SES: career, limited term, limited emergency, and non-career appointees, and those Presidential Appointees who elect to retain SES provisions. These six CEs and their associated Part 1 requirements are fixed and may not be changed. In Part 2 of the CEs, the senior executive describes individual commitments (a limited number of critical actions, objectives and outcomes/results) that he or she will be expected to accomplish during the upcoming evaluation year.

Performance Plans

- Must be established with full consultation by October 30, or within 30 calendar days of appointment or position change.
- Must include the six fixed CEs and performance requirements in Section C-1 and link each CE to EPA's Strategic Plan (or Regional Plan).
- Must include a limited number of individual commitments and outcomes/results expected in Part II for all CEs in Section C-2. Individual commitments must include measures and dates, even if "ongoing" or due at the end of the Fiscal Year.

Executive Development Plans

- Must be established within 30 calendar days of appointment or other position change.
- Are established usually at Midyear Progress Review and cover one full year (e.g., May 1 through April 30).

Performance Appraisal

- Each Senior Executive must provide a written description of his/her own overall performance, with the vast majority of the narrative focusing on the outcomes/results achieved, in Sections D-1, Performance Assessment Narrative, D-2, Business Acumen Narrative, and D-3, Equal Employment Opportunity and Diversity Narrative.
- In determining the rating for each CE, the supervisor will assess the specific outcomes/results achieved in Parts I and II, and at least 60 percent of the rating must be based on outcomes/results achieved in Part II.
- Supervisors must provide written comments ("Supervisor's Notes") in Section C-3 for each CE with a rating of *Unsatisfactory*, *Needs Improvement*, or *Outstanding*.

Definition of Summary Rating Levels

- **Unsatisfactory:** The senior executive consistently fails to meet the established performance requirements in one or more Critical Elements of the executive's position.
- **Needs Improvement:** The senior executive exhibits significant performance-related problem(s) (e.g., limited ability in producing work of acceptable volume and/or quality within established time frames; limited sense of personal responsibility or accountability in work assignments) although performance has not reached Unsatisfactory in any CE.
- **Effective:** Results achieved reflect normally high performance that can be reasonably expected of any senior executive.
- **Commendable:** Results achieved clearly exceed what could be reasonably expected and the senior executive exemplifies or models those practices and approaches that represent the SES ideal.
- **Outstanding:** Reserved for the senior executive who demonstrates the highest degree of achievement in a manner that both distinguishes him/her from the rest of the SES corps and materially advances the EPA mission.

Do Not Remove This Cover Sheet Until the Entire Form is Placed in the Employee Performance File in the Servicing Personnel Office.

Privacy Act Statement

The maintenance of this information is governed by Privacy Act system of records OPM/GOVT-2. The authority for the maintenance of this system is 5 U.S.C. 1104, 3321, 4305, and 5405, and Executive Order 12107. This information is required. Not providing this information may hinder the Agency's ability to process personnel actions concerning you. This information is used to define the critical elements and performance requirements (performance standards and performance measures) directly related to your job. It will be used to document your mid-year review, any other reviews, and your end of year rating. The information also may be used in connection with selection for and publication of cash and honor awards; other personnel actions based on performance such as training and development decisions; the hiring or retention of an individual or the issuance of other benefits; relevant judicial or administrative proceedings; law enforcement purposes; personnel research or survey purposes; and negotiated grievance procedures. Disclosure also may be made to the MSPB, the EEOC, and other Federal agencies for purposes authorized by law; to a Congressional office at your request; and to officials of labor organizations when relevant and necessary to their duties as exclusive representatives of Federal employees. This is a summary of the routine uses for these records. For a full description of this system notice, including routine uses, see 65 FR 24737 (Apr. 27, 2000).

Security Provisions

Personnel information entered on this form such as performance narratives, ratings on individual critical elements, and the overall performance appraisal, is protected by the Privacy Act. Protected records maintained in office files, on floppy disks, or in any other manner must be secured in accordance with the safeguards specified for performance records.



U.S. Environmental Protection Agency
Washington, DC 20460

Performance Plan and Appraisal for Senior Executives

Employee Name (Last, First, MI)

WALKER, MICHAEL J.

Performance Period

From: 10.1.2012

To: 12/20/13

Title, Pay Plan, Band, Series

DIRECTOR, National Enforcement Training Institute ES-04 905

Organization (AA/RA, Ofc, Div, Br)

OECA/OC/NETI

Section A.

Performance Plan Approval and Midyear Review

Please sign and date the appropriate block below to certify completion of the events. The signatures below certify that the supervisor has developed the performance agreement in consultation with the executive, discussed the agreement with the executive, and provided examples of behavior that would/would not meet the performance standards. The discussion occurs at the beginning of the performance rating period. The executive is given a copy of the agreement, and the original is placed in the executive's file.

	Employee	Supervisor	Approving Official
Consultation/discussion and approval of the Performance Plan	Signature: <i>[Signature]</i>	Signature: <i>[Signature]</i>	Signature: <i>[Signature]</i>
	Date: 12/16/2012	Date: 12/26/2012	Date: 1/22/13

Midyear Progress Review and Career Development Discussion

Yes / No

☐ Was previous EDP completed? (Participated in 40 hours of development activities)

☐ Has new EDP been established?

Enter Date Established:

☐ Comments Attached?

Signature - Employee

Date

4/25/2013

Signature - Supervisor

Date

4/25/13

Section B.

Overall Performance Appraisal and Approval

Summary Performance Rating:

- ☐ Unsatisfactory - One or more CEs are rated *Unsatisfactory*
- ☐ Needs Improvement - One or more CEs are rated *Needs Improvement*, none are *Unsatisfactory*
- ☒ Effective - Majority of CEs are rated *Effective*, Results Driven no lower than *Effective*, none lower than *Effective*
- ☐ Commendable - One-half or more CEs are rated *Commendable*, Results Driven no lower than *Commendable*, none lower than *Effective*
- ☐ Outstanding - One-half or more CEs (including Results Driven) are rated *Outstanding*, none lower than *Commendable*

Type of Summary Rating:

- ☒ End of Annual Cycle ☐ Employee Reassigned ☐ Employee Leaving Agency ☐ Other - Specify

I. Supervisor: I have appraised this employee's performance and prepared a recommended rating.

Name and title (type or print):

Lisa Lund, Director, Office of Compliance

Signature

[Signature]

Date

12/11/13

II. Reviewing Official: The recommended rating reflects my assessment of the employee's performance.

Name and title (type or print):

Signature

Date

III. Approving Official*: I approve the rating of record and related personnel decisions for this employee.

*The Administrator, or Inspector General for executives in the Office of Inspector General

Name (type or print):

Signature

Date

IV. Employee: My supervisor and I have discussed my performance for this period in relation to my performance requirements (measures and standards) and my supervisor has informed me of my rating of record.

Signature

Date

12/11/2013

Higher Level Review Requested?

☐ Yes ☐ No

Comments Attached?

☒ Yes ☐ No

Performance Elements/Requirements

Employee Name (Last, First, MI)	Performance Period			
WALKER, MICHAEL J.	From:	10.1.2012	To:	4.30.13

Link to the Strategic Plan: Link each Critical Element (CE) to EPA's current Strategic Plan (or Regional Plan)

<http://www.epa.gov/ocfo/plan/plan.htm>. The Plan contains five strategic, results-based environmental goals to guide the Agency's work and five cross-cutting fundamental strategies which set clear expectations for changing the way EPA does business in achieving its results. If a CE links to a goal, then use its relevant objective(s) or sub-objective(s) to better define the linkage (e.g., Goal 2, *Protecting America's Waters, Objective 2.1, Protect Human Health*). CEs of senior executives who perform cross-EPA and/or cross-media work (including legal support or administrative, financial or information management), may more appropriately link to a strategy rather than to a goal (e.g., Strategy 2, *Working for Environmental Justice and Children's Health*) or one of the associated annual action plans. If neither goals nor strategies capture management and support duties, then insert the following statement: *This work is an enabling and support function that supports the outcomes of all of the Agency's strategic goals and cross-cutting fundamental strategies.*

Element Rating: The supervisor indicates the level of performance for each CE by marking *Unsatisfactory* (U, the lowest performance level), *Needs Improvement* (NI), *Effective* (E, the level at which performance requirements are described), *Commendable* (C), or *Outstanding* (O, highest level of performance). In determining the rating for each CE, the supervisor will assess the specific outcomes/results achieved in Parts I and II, and at least 60 percent of the rating must be based on outcomes/results achieved in Part II.

CE 1. Results Driven: Achieves organizational and individual goals and objectives consistent with the EPA Strategic Plan and/or office operating plan.

Element Rating:
Effective

Strategic Plan:

Part 1 Requirements (described at the *Effective* performance level)

Part 2 (required - - see Section C-2)

Sets long-term and short-term program objectives that: stress achievement of mission results, are realistic and measurable, and respond to the Agency Strategic and Annual Performance Plans and/or other key Government-wide or EPA objectives. Effectively structures, organizes and prioritizes work to accomplish the objectives set forth in the Annual Performance Plan and/or appropriate business/work plans, including management initiatives. Monitors progress toward achieving goals and organizational objectives using effective measures, processes and procedures. Considers customer perspectives and feedback, as appropriate, in adjusting priorities. Takes action to modify operating plans when organizational results and measures indicate corrective action is needed. Informs higher-level management of significant program initiatives, developments, and status. Holds self and others accountable for measurable, high-quality, timely and cost-effective results. Positions the organization for future success by identifying new opportunities; builds the organization by developing or improving products or services. Takes calculated risks to accomplish organizational objectives. Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise. As applicable, ensure self and others comply with all applicable personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

CE 2. Business Acumen: Acquires, organizes, manages and leverages available human, financial, material and information resources to efficiently produce high-quality results which accomplish strategic goals and organizational objectives.

Element Rating:
Effective

Strategic Plan:

Part 1 Requirements (described at the *Effective* performance level)

Part 2 (required - - see Section C-2)

Assesses current and future resource needs, including developing and implementing strategies for workforce and succession planning, based on organizational goals and budget realities. As applicable, prepares and implements budget requests which are timely, well-defined, and include appropriate justifications that consider fiscal constraints, program priorities, and human capital (HC) objectives (skill/competency needs, retention, employee development). Employs a recruitment strategy that attracts candidates with the required skills, talent, diversity, and commitment to EPA's mission. Properly executes the operating plan and effectively manages funds. Produces timely and accurate financial information to support operating, budget and policy decisions. Successfully achieves cost management and other resource management objectives as reflected by reports from the organization's financial and other management systems. Accurately assesses the nature of work being performed by the organization. Effectively uses procurement and contractual processes to provide the products and services needed to meet organizational goals and objectives. As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories. Effectively manages assistance agreements to promote accountability and environmental results, including ensuring compliance with EPA grants management policies and supporting initiatives to meet the goals and objectives of EPA's long-term Grants Management Plan. Effectively manages Interagency Agreements in accordance with established policies and procedures. Identifies and builds business case for opportunities to utilize or better utilize e-Government technology to produce and deliver goods and services, collect and use information, or communicate, consult, collaborate, or partner with stakeholders, in order to improve organizational/program effectiveness and efficiency. Ensures access to and the security of technology systems. Establishes and maintains effective and efficient management controls in administrative and program areas, and as appropriate, conducts reviews to identify material and other weaknesses. Corrects weaknesses in a timely manner. On a regular basis, reviews and analyzes performance measures, consults and collaborates across EPA and with stakeholders and customers, as appropriate, and takes decisive action, in accordance with law, regulation and Agency policy to improve business processes. Takes action to address employee performance problems. As applicable, promotes integrity in the Labor Relations process and works towards fostering an atmosphere of respect and professionalism. Depending on the Agency's assessment of appropriateness and the parties' willingness, uses collaborative or compliance approaches to help address conflicts and solve problems. Assesses and recognizes own strengths and weaknesses; pursues self-development.

Performance Elements/Requirements

Employee Name (Last, First, MI)	Performance Period		
WALKER, MICHAEL J.	From:	10.1.2012	To: 9-30-2013
CE 3. Leading Change: Effectively initiates & manages organizational change.		Element Rating: <i>Effective</i>	
Strategic Plan:			

Part 1 Requirements (described at the *Effective* performance level)**Part 2** (required -- see Section C-2)

Implements organization vision that aligns key national and program goals and priorities with Agency and Office Strategic Plans and EPA and Government-wide initiatives; accounts for stakeholders' needs; Identifies current and projected skill gaps, and structural and organizational inefficiencies; develops and articulates short- and long-term strategies for addressing skill gaps and inefficiencies; establishes time frames and bench-marks for improved organizational performance and measures organization's performance against those bench-marks; and makes the organization as citizen/customer focused as possible. Designs and deploys effective strategies that balance stakeholder interests with the business of the organization and that balance change and continuity. Strategies are creative, flexible, and innovative and show initiative. Acts as a catalyst for organizational change. Influences others to translate vision into action. Identifies and analyzes underlying dynamics and interests creating problems and conflicts; includes affected internal and external parties in problem-solving and conflict resolution; develops creative insights and innovations, and considers them along with conventional approaches, generates and evaluates with parties alternative solutions that achieve mutually acceptable goals; builds consensus through focus on underlying interests and mutual gain of parties, demonstrates how collaborative problem solving was considered and used to support environmental and organizational decision-making; Understands and keeps up-to-date on local, national, and international policies and trends that affect the organization and shape stakeholders' views; is aware of the organization's impact on the external environment. Successfully adapts plans, processes and programs in response to new information and changing conditions or initiatives, including new Government-wide or EPA initiatives or objectives. Using good judgment, constructively utilizes indicators such as customer feedback and organizational results measures, as appropriate, to effectuate improvements in program performance. Employee feedback indicates a clear understanding of the organizational vision. Deals effectively with pressure; remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Shows a commitment to serve the public. Ensures that actions meet public needs; aligns organizational objectives and practices with public interests.

CE 4. Building Coalitions and Communication: Builds alliances and effectively communicates to advance EPA's and organization's mission and objectives.

Element Rating:*Commendable*

Strategic Plan:

Part 1 Requirements (described at the *Effective* performance level)**Part 2** (required -- see Section C-2)

Articulates program goals and objectives; promotes and supports EPA initiatives and objectives internally and externally in a clear and convincing manner, particularly when representing or speaking for the organization or EPA. Effectively identifies and manages internal and external influences and dynamics that impact the organization's work. As appropriate, cultivates alliances, strengthens support internally and externally, and facilitates open exchange of opinion from diverse groups (e.g., Federal agencies; Congress; customers and stakeholders; the public; the media; state, local, and tribal governments; non-governmental organizations; minority groups; overburdened, underserved, or underrepresented communities; and the international community). Routinely considers and effectively employs collaborative approaches wherever appropriate, to build strategic relationships and achieve common goals. Effectively communicates with and listens to customers and stakeholders, gathering feedback as appropriate. Shows evidence of giving feedback due consideration, especially in the area of organizational performance. Seeks to build trust in all interactions. Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals. Makes clear and convincing oral presentations. Listens effectively; clarifies information as needed. Writes in a clear, concise, organized, and convincing manner for the intended audience.

CE 5. Leading People: Effectively leads & manages employees to enhance their performance, development & satisfaction in accomplishing EPA/organization's goals & objectives.

Element Rating:*Effective*

Strategic Plan:

Part 1 Requirements (described at the *Effective* performance level)**Part 2** (required -- see Section C-2)

Effectively communicates EPA's mission, core values and strategic goals to employees and engages them in development of objectives contributing to those goals. Implements recruitment, retention, and developmental strategies that support organizational performance objectives, agency hiring goals, and successful transition of highly qualified employees into and within Federal service. Takes into account employee perspectives and encourages them to develop creative and effective ways to successfully accomplish the Agency's mission. Applies and effectively fosters formal and informal performance management practices to align organizational and employee performance plans and to promote workforce quality and results achievement. Promotes an organizational culture dedicated to leadership development and growth of first line supervisors. Motivates employees to achieve high performance by facilitating a workplace that fosters diversity, innovation, initiative, and open and honest communication. Inspires and fosters team commitment, spirit, pride and trust. Facilitates cooperation and motivates team members to accomplish group goals. Encourages constructive criticism and differences of opinion; anticipates and takes steps to prevent counter-productive escalation of conflicts. Ensures that employees have the tools and training to do their jobs. Coaches and develops employees so that they realize their full potential. Provides constructive feedback to employees concerning individual and group performance including timely appraisals which result in meaningful distinctions in ratings based on actual job performance. Deals effectively with employee relations matters, including resolving instances where employees are underutilized and/or underperforming. Employee feedback reflects an understanding of supervisory and management direction, constructive feedback, developmental opportunities, and recognition received. Behaves in an honest, fair and ethical manner. Shows consistency in words and actions. Models high standards of excellence. Treats others with courtesy, sensitivity and respect. Considers and responds appropriately to the needs and feelings of different people in different situations. Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and the mission of the office.

Performance Elements/Requirements

Employee Name (Last, First, MI)

WALKER, MICHAEL J.

Performance Period

From:

10.1.2012

To:

9.30.2013

CE 6. Equal Employment Opportunity (EEO), Civil Rights and Diversity:
Demonstrates commitment to and support of EPA EEO/Civil Rights/Diversity policies, programs, and initiatives; takes proactive steps to promote EEO and enhance workplace diversity.

Element Rating:

Outstanding

Strategic Plan:

Part 1 Requirements (described at the *Effective* performance level)**Part 2** (required - see Section C-2)

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations. Engages in proactive efforts to promote diversity and inclusion within the workplace.

Section C-2 (Please Type Information)

Performance Elements/Requirements

Employee Name (Last, First, MI)

WALKER, MICHAEL J.

Performance Period

From: 10.1.
2012To: 9.
2013

Describe below a **limited** number of critical actions, objectives and/or results that you expect to accomplish during the upcoming evaluation year: For each individual commitment identify: (1) CE #, (2) linkage (e.g., should be derived from, and directly contribute to, Agency strategic planning priorities, as appropriate, and/or other relevant annual performance goals or strategies, local human capital (HC) action, EEO, EPA competitive sourcing plans, SDVB, Post Award Management, business and/or operating plans), (3) specific expected outcomes and accomplishments, and (4) performance requirements or metrics (e.g., quality, quantity, timeliness, cost effectiveness, and target date/milestone). You should establish commitments at the beginning of the evaluation period and track progress and accomplishments throughout the period. In consultation with your supervisor, you may modify organizational objectives and individual commitments during the evaluation period (but no later than 90 days before the period's end) if circumstances warrant. Attach additional pages as needed. *Individual commitments are required for all CEs and there should be at least two (2) individual commitments for CE 1, Results Driven.*

Part 2 Individual Commitments (described at the *Effective* performance level)

CE#	Linkage (e.g., Goal/Objective, Annual Plan, HC Plan, SDVB Plan,)	Objective (WHAT -- e.g., specific accomplishment, product, outcome, deliverable)	Performance Requirement (HOW, WHEN, WHY, WITH WHOM -- e.g., quality, quantity, timeliness, cost effectiveness, and target date/milestone)
CJE 1	OECA/OC Priorities Goal 5	Results Driven: will implement techniques from high performing organization training; select and implement new learning management system to replace NETIONLINE, 2.01.2013, continue to foster implementation of "E" University of Web-based training to save travel funds and reduce carbon foot print from enforcement training & travel. Assist in training for state enforcement partners, through grant supervision. Promote cost-effective efficiencies, such as web-based and webinar platforms for National Enforcement Initiatives, incl. small business issues. Support other OC offices seeking to implement training, including inspectors, new targeting tools, national priorities, regulation development strategies that advocate new regulatory approaches.	
CJE 2	EPA/OECA Priorities Goal 5	Business acumen: implement eLMS system by 2.1.2013, manage and leverage available human and material NETI resources to maximize training for federal, state, local and tribal audiences during rating period, utilize cost effective e-Government technology by 9.30.2013, including Adobe Connect for training. Enhance use of talent from other EPA & OECA offices for webinars and training, by 6.01.2013, working with staff and senior managers. Assist in training for state enforcement partners, and training programs for national audiences. Provide web-based and webinar platforms for National Enforcement Initiatives by 9.30.2013. Support other OC offices seeking to implement training, including inspectors, regulation development strategies that advocate new approaches. Will regularly communicate and network with regional counsel and enforcement directors as part of National Training Plan development and implementation.	
CJE 3	EPA Priorities, Goal 5	Leading Change: effectively implement key national and OECA program goals, inc. Next Generation Compliance Principles, through cost effective & efficient delivery of training by 9.30.2013. Will seek to maximize coalitions & communications with external and internal constituents, inc. SES OECA & regional enforcement managers (by 9.30.2013) that impact the larger mission of the EPA organization. Assist in training for state enforcement partners. Provide web-based and webinar platforms for National Enforcement Initiatives, incl. EJ. Support other OC offices seeking to implement training and strategies that advocate new, innovative approaches, including moving more NETI courses into the new elms and EPA Talent Management System.	
CJE 4	EPA/OECA/OC Priorities Goal 5	Leading People: Institute and model positive leadership skills for existing and new NETI employees; to implementing and exhibit measured and positive changes; including identifying metrics for changing the outlook and work culture for NETI staff and OECA mentors who work with legal interns. Organize two division retreats by 9.1.2013. Assist OC personnel in training for state enforcement partners. Provide web-based and webinar platforms for National Enforcement Initiatives.	
CJE 5	EPA Goal	Demonstrates tangible personal commitment to equal opportunity, including specific action items for OECA referenced in the OECA MD 715 report, such as outreach to minority academic institutions; recruitment of law clerks with disabilities and veterans.	

List known factors over which you have little, if any, control, but which might exert significant impact on your performance or ability to achieve an objective. In assessing performance, the supervisor will consider factors, which might legitimately and significantly influence your ability to perform, whether or not they are documented below.

Assumptions

I plan to focus my efforts on building a high performing, efficient organization, manage NETI staff strategically as well as on a day to day, project to project basis, and establish a more visible presence with the Regions, other OECA offices, Enforcement Directors and other core constituents. I will do my best to maintain the visibility and value of the NETI organization.

SELF APPRAISAL: MIKE WALKER, FY 2013

Last October, I identified a number of critical actions, objectives and/or results that I expected to accomplish during the 2013 performance evaluation year. Although it has been difficult to maintain my energy and enthusiasm for work in an era of substantially diminished resources and little visibility and recognition for my contributions to EPA, I take pride in my achievements here and outside the Agency that are personally fulfilling.

I believe that I have successfully fulfilled each commitment identified through the critical job elements, measurable objectives and requirements in my performance agreement. To comprehensively evaluate my accomplishments, I have prepared a list at the end of this appraisal, enumerating each commitment as a "goal."

To the extent that my job description and duties allow, my work has served to support elements of EPA's strategic planning and OECA's performance goals and objectives.

RESULTS DRIVEN

As required in my standards, I have implemented a number of strategies and techniques to transform the NETI into a high and *higher* performing organization. NETI, with new, fully engaged staff, has implemented a new e-LMS. Training and mentoring of staff in the implementation of the new e-LMS was purchased and delivered. Over a period of years, I led NETI's efforts to transform traditional core classroom training into an "e-university" of web based and webinar training. This year, 99 training webinars were provided. On-line, e-Learning courses have been developed and posted on the e-LMS. Under my direction, efforts were made to advertise web based platforms for new enforcement training initiatives, to and to support other OC and OECA offices seeking to implement training. Much training was done at very low cost through the e-learning systems.

Proposed Rating: Commendable

BUSINESS ACUMEN

As required by my standards, I implemented strategies to promote maximum results through e-government, reduced cost expenditures for training and maximizing the use of in-house training talent. These strategies stem from results-driven strategies I learned from highly effective organizations training. Selecting and implementing the new eLMS and building and re-building enforcement "e" courses allowed NETI to retire the costly and outdated NETIONLINE system, saving resources and promoting greater efficiency, effectiveness and results.

I led the efforts to partner with the Office of Children's Health Protection, Region 2, 5, and 6 to promote "e" learning training by providing significant webinar support for these training efforts. Several courses organized with the Office of Children's Health had more than 1,000 participants. I also went to Dallas, at the Region's request, to personally deliver the definitive session on inspection warrants and access authorities, for 300 pre-treatment personnel from six states. This session received some of the highest ratings by course attendees. My efforts to support and lead the effective implementation of NIEH's e-university web based training, to provide web based platforms for new enforcement training initiatives and other OC and OECA offices seeking to implement training, in an efficient, low cost manner have begun to be realized. Finally, I have personally recruited, identified and hired over 226 law clerks and college students for OECA and several other EPA offices, such as the Office of International Activities and Tribal Affairs, Office of Suspension and Debarment, Congressional Affairs and Office of Chemical Safety and Pollution Prevention. All students under my direction worked without compensation. Together these law clerks have provided over 25,000 hours of support for EPA programs and activities.

Proposed Rating: Commendable.

LEADING CHANGE

Since being appointed the Director of NIEH, I have supervised the transformation of the organization from a limited classroom-training, room reservation operation to an innovative e-learning operation focused on web-based and webinar training. For some staff in NIEH, change was very difficult. Others were led to change over time, others resisted and resented change. With management support, NIEH personnel have changed or were replaced. Leading this effort has been complicated by severe reductions in ETE, including the loss of both the Deputy Director of NIEH and the Associate Director, with no prospect for relief. Even our SEE employee who handled NIEH training room reservations and escorted students without identification badges was let go. Keeping morale high among the remaining staff is challenging. This year one staff member told me she had to "leave to find another job, that the prospect for advancement was limited" and left. I have sought to implement strategies and techniques that recognize and required the contributions of NIEH staff, as well as thoughts personnel in the other OC offices that we interact with daily as we seek to implement the new Adobe Connect ve-learning system, to the Shared Service Centers and Personal Security Division who are helping to foster effective change. Our efforts to fully embrace e-government, reduced cost expenditures for training and maximizing the use of in-house training talent at a time of reduced travel and

operational budgets require constant team building and outreach. Yes we can. Not, no we can't have been my operating mantra.

Proposed Rating: Commendable.

LEADING PEOPLE

I was rated "*needs improvement*" in this category for Performance Year 2011.

This rating was in recognition of some intractable personnel issues arising during my leadership of NETI during the rating period. As a 21 year member of the Senior Executive Service, it was with great humiliation that I saw my rating posted on an Agency-wide chart as the lowest rating of the entire SES Corps. With the support of my management and a professional job coach, I confronted more than 200 confidential "observations" that peers and others made to the job coach. This list became my template to improve my behavior and strategies in the way I identify with and lead people. I adopted and implemented model positive leadership skills with existing and new NETI employees. By taking the "needs improvement" rating to heart, implementing and exhibiting measured and positive changes, including metrics for changing the outlook and work culture for NETI staff, I have been able to forge a small but effective team of self-directed, cooperative professionals, maximizing the outputs and success stories for this small but vital workforce. I reestablished regular office meetings, enhanced my abilities to engage in all facets of NETI activities, organized two introspective planning retreats, and provided for suitable recognition and required on a consistent, often weekly basis.

With the law clerk program and organizational challenges and barriers faced with the Personal Security Office, CIS, other managers and mentors, I was tried to model management and leadership behaviors to further maximize the value that these law clerks bring to our larger operation: the ability for subordinate staff to learn to delegate and manage; to learn how to direct and shape the work flow of a subordinate and to learn from the students, their facility with improvements in legal research and technology that can benefit our larger organization.

Proposed Rating: Commendable.

EEOC

I continue to demonstrate a tangible and personal commitment to equal opportunity, including the identification and fulfillment of specific action items for OECA as referenced in the MD 715 EEO commitment, such as outreach to minority academic institutions; and recruitment of law clerks with disabilities and veterans. I have served

as the Special Emphasis Program Manager for Persons with Disabilities for all of OECA as well as on the OC Diversity Committee. During FY 2013, I personally recruited and hired 13 law clerks with disabilities and 7 veterans.

I have done considerable outreach to Minority Academic Institutions, including the University of the District of Columbia, Howard University School of Law, Southern University School of Law and Morgan State University. Each quarter, I have completed listing of my activities and work for OECA's submission to the Office of the Administrator.

Through my work within NETL, where I personally did 5 webinar presentations on environmental justice topics and 3 presentations on Charles Hamilton Houston and his civil rights work, I seek to foster inclusion, understanding and fulfillment in the workplace.

Proposed Rating: Commendable

PERFORMANCE ELEMENTS: Critical Job Elements, Objectives, and Performance Requirements:

RESULTS DRIVEN:

Goal: To implement techniques from high performing organizations; DONE/Ongoing, example all staff cross-trained to run webinars, develop e-learning courses, run equipment.

Goal: To select & foster a new learning management system to replace NETIONLINE; DONE

Goal: To replace NETL-On-Line; DONE. Contract terminated on 1.21.2013, saving annually over \$125,000; was \$300,000 per year when I joined NETL.

Goal: To implement web based training to save travel funds and reduce carbon foot print; DONE, 99 webinars completed in rating period.

Goal: To assist in training state enforcement partners through grant supervision; DONE. Grant Awarded to Sam Houston State University, preliminary work in course design and development underway.

Goal: To promote webinar platforms for Nation Enforcement Initiatives; Done. Multiple Webinars have featured each topical area: Preventing Animal Waste from Contaminating Surface Waters; Cutting Toxic Air Pollution that Affects Communities' Health; Reducing Widespread Air Pollution from the Largest Sources, Coal-Utility, Cement, Glass & Acid Sectors; Reducing Pollution from Mineral Processing Operations; Controlling Raw Sewage and Contaminated Water.

Goal: To support other OC offices to implement training, including inspectors, new targeting tools national priorities regulation development strategies; Done; personally created an inspector email list of 2,900 members; regular broadcasts to inspectors; presented Evidence Lecture at Texas Pre Treatment Workshop.

BUSINESS ACCUMEN

Goal: To implement eLMS by 2.1.2013; Done

Goal: To manage human resources to maximize training for federal, state, local and tribal audiences; DONE

Goal: To utilize cost effective e-Government technology by 9.30.2013 for webinars and training; DONE

Goal: To support other OC offices seeking to implement training, including inspectors and regulation development strategies; DONE

Goal: To regularly communicate and network with regional counsel and enforcement directors as part of the national Training Plan; DONE; note regular email alerts and participation in monthly conference calls.

LEADING CHANGE

Goal: To effectively implement key national and OECA program goals, including Next Generation Principles, through cost effective and efficient delivery of training; DONE

Goal: To seek to maximize coalitions and communications with external and internal constituents; DONE. Many states and tribes participate in training via webinars. Law clerks have been recruited for The Office of Children's Health Protection; Environmental Appeals Board, Office of Water, Office of Administrative Law Judges; Office of Chemical Safety & Pollution Prevention, OARM Suspension & Debarment Office.

Goal: To assist in training for state partners; DONE (via webinars and live training, including District of Columbia Department of the Environment.)

Goal: To provide web-based and webinar platforms for National Enforcement Initiatives, including Environmental Justice; DONE Four separate webinars on Environmental Justice were accomplished.

LEADING PEOPLE

Goal: To institute and model positive leadership skills for NETI employees; DONE (*See below)

Goal: To implement metrics for changing the outlook and work culture for NETI staff and mentors who work with students; DONE; exit interviews and meetings with mentors help to assess success of program.

Goal: To organize two division retreats; DONE

Goal: To assist OC personnel in training state inspectors; DONE, via webinar and classroom training.

Goal: To provide web-based platforms for National enforcement Initiatives; DONE

Goal: To demonstrate tangible personal commitment to equal opportunity; DONE

Executive Development Plan: Goals & Metrics

Goal: To become less "invisible" in OECA and EPA. Activity: To obtain an appointment to an Office-wide or Agency-wide workgroup. Not accomplished.

Goal: To be recognizing as a knowledgeable expert on administrative law enforcement, negotiations and FIFRA, RCRA, TSCA, CWA and EPCRA. Activity: to teach and mentor others. DONE; being

appointed Adjunct Professor in three law schools, plus serving as a presenter in 24 webinars highlights the body of knowledge and institutional memory I possess.

Goal: To be recognized as leading the OECA effort to promote EEO and Diversity in the workplace. Activity: To be used as an in-house expert on recruitment. Not accomplished, except for my own program.

Goal: To be recognized for fostering a high performing organization. Activity to obtain training and document metrics for efficient training delivery. On-going.

Goal: To participate, as a co-lead, in an intergovernmental administer law enforcement clearing house to identify strategies for improve litigation skills. Activity: On- going; co lead with HHS attorney.

(*) **“Model Behavior” as a Public Lawyer and SES Leader; Personal IDP**

In addition to trying to model and enhance my management and listening skills for the permanent NETI staff, I successfully mentored and led over 200 law clerks and college interns during their service at EPA, resolving conflicts, and helping them to grow and develop in the professional work environment. I invested time, interest and understanding into the NETI staff, by providing day to day and longer term direction and guidance. I also sought to set a positive, public role model example for NETI staff and the interns as to what a “public lawyer,” and member of the Senior Executive Serve means to EPA and society at large, balancing work, one’s personal life and a commitment to public service. To that end I:

- Served as OECA’s Special Emphasis Program Manager for Persons with Disabilities, hiring 13 PWD students.
- Developed and presented two sermons on “Civility & Bullying” at Mt. Vernon Unitarian Church and Davies Memorial Unitarian Church, July and August 2013.
- Hosted the EPA Gay & Lesbian Pride Luncheon
- Developed and gave the Martin Luther King Service at Mt. Vernon Unitarian Church in January 2013, plus 3 Charles Hamilton Houston lectures for the interns.
- Developed and taught Federal Commercial Chemical Regulation at the University of Toledo (October 2012) and University of Maryland College of Law, (Fall 2012) as Adjunct Professor
- Developed and taught “Natural Resource Law” and taught it at William & Mary College of Law (Spring 2013)
- Mentored and coached a law student doing an independent legal writing project, arranging for him to meet and perform a portion of the opera he is creating about U.S. Supreme Court Justices Ginsburg and Scalia for the Justices at the Supreme Court. I successfully negotiated with NPR to broadcast a portion the performance, which was recorded on the last day of the spring term, Google “NPR Scalia/Ginsburg Opera.”
- Appeared in a lead vocal role in Man of La Mancha, to which over 50 OECA interns attended and then came to my home for a reception. Others saw me in the ballets: the Nutcracker and Cinderella.

- Organized a weekly "Waffle Shop" drawing for interns, paying for lunches from my own funds.
- Served as an overnight 'chaperone' at a Hypothermia Homeless Shelter during the 2012-2013 winter.

Section C-3 (Please Type Information)

Performance Elements/Requirements

Employee Name (Last, First, MI)

WALKER, Michael

Performance Period

From: 10/1/2012

To: 9/30/2013

The supervisor must provide written highlights for each critical element rated *Unsatisfactory*, *Needs Improvement* or *Outstanding*.

Supervisor's Notes

1. Results Driven Rating: Effective

2. Business Acumen Rating: Effective

3. Leading Change Rating: Effective

4. Building Coalitions and Communication Rating: Commendable

5. Leading People Rating: Effective

6. Equal Employment Opportunity (EEO) Rating: Outstanding

Mike continues to demonstrate his personal commitment to equal opportunity. He has been a leader within OECA and the Agency on fulfillment of specific actions referenced in the MD 715, including outreach to Minority Academic Institutions, and the recruitment of law clerks with disabilities and veterans. Mike has gone above and beyond by serving as the Special Emphasis Program Manager for Persons with Disabilities for all of OECA, as well as serving on the OC Diversity Committee.

Supervisor Signature:



12/11/13

Section E

Executive Development Plan

Employee Name (Last, First, MI)

WALKER, MICHAEL J.

Performance Period

From: 10.1.2012

To: 9.30.2013

Long Term Goal:

To obtain an appointment that reflects my abilities to lead and manage a larger, more visible organization.

Short Term Goal:

To successfully transit the NETI training program into a highly regarded "E" learning organization with links and connections to other parts of the EPA training program

Career Goals & Development Objectives

Specific Development Activities

Goals/Objectives

Activity

Time Frame

To become less "invisible" in OECA and EPA.

To obtain an appointment to an Office-wide or Agency wide work group where my ideas and talent can be shown to other managers, including the Assistant Administrator and Administrator

On going

To be recognized as a knowledgeable expert on administrative law enforcement, negotiations, TSCA, FIFRA, RCRA, EPCRA, CWA and natural resource law.

To use this knowledge to teach and mentor others.

On going

To be recognized as leading the OECA effort to promote EEO and Diversity in the workplace.

To be used as an in-house resource in OECA (and EPA) to show how efforts can be exerted to fulfill important public policy goals, particularly for veterans and persons with disabilities.

On going

To be fully recognized for fostering a high performing organization.

To take a number of training courses and write a report with demonstrable metrics for highly efficient training delivery.

By 6.30.2012

To participate, as a co-lead, in an intergovernmental administrative law enforcement clearing house to identify strategies for improved litigation skills.

Weekly conference calls.

On going

Discussion and/or approval of the Executive Development Plan.

Signature

Date

Employee

Signature

Date

Supervisor

Signature

Date

Approving Official

12/20/2012

12/26/12

2/22/13